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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

5 + ref.'s

Application Number	10/776,397
Filing Date	February 10, 2004
First Named Inventor	Sohrab Kianian et al.
Art Unit	2811
Examiner Name	Not assigned yet

Attorney Docket Number

2102397-992011

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
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<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> Three References
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> Return Postcard

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Customer No. 26379

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Alan A. Limbach, Reg. No. 39,749 Gray Cary Ware & Freidenrich
Signature	
Date	October 7, 2004

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Kathleen LaBrie
Signature	
Date	October 7, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE STATEMENT

Applicants:	Kianian et al.
Application No.	10/776,397
Filed:	February 10, 2004
For:	Self Aligned Method Of Forming A Semiconductor Memory Array Of Floating Gate Memory Cells With Buried Bit-Line And Vertical Word Line Transistor
Group Art Unit:	2811
Examiner:	Not assigned yet
Attorney Docket No.:	2102397-992011

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. § 1.56(a) and 37 C.F.R. § 1.97, Applicant(s) hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application.

This Information Disclosure Statement:

- (a) accompanies a new patent application submitted herewith.
- (b) is filed within three (3) months of the Filing Date or before the mailing date of a First Office Action on the merits; OR
- (c) is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned prior to the mailing date of either a final rejection or a notice of allowance, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below OR
- (d) is filed after the mailing date of either a final rejection or a notice of allowance, and the issue fee has not been paid, and is accompanied by the requisite petition fee (\$130) set forth in 37 CFR § 1.17(l)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

As required under § 1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- (e) Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- (f) No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application. Copies of the references are enclosed

The Commissioner is authorized to charge any deficiencies and credit any overpayment of fees to our Deposit Account No. 07-1896

Respectfully submitted,

Date: October 7, 2004

GRAY CARY WARE & FREIDENRICH LLP

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Kathleen Hartley

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Form PTO-1449
(modified 2/91)

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Attorney Docket Number:
2102397-992011

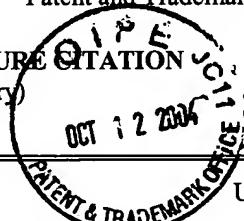
Serial Number:
10/776,397

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Applicants: Kianian et al.

Filing date: February 10, 2004

Group art unit: 2811



U.S. PATENT DOCUMENTS

Examiner Initial	Patent No. Publication No.	Date	Name	Class	Sub-class	Filing date if appropriate
	5,338,953	08/1994	Wake			
	5,943,572	10/1999	Krautschneider			
	6,180,458	01/2001	Krautschneider et al.			
	6,538,275	03/2003	Sugiyama, et al.			
	6,541,815	04/2003	Mandelman, et al.			
	6,756,633	06/2004	Wang et al.			
	10/105,741	03/2002	Kianian			
	10/653,015	08/2003	Chen et al.			
	10/776,483	02/2004	Kianian et al.			
	10/818,590	04/2004	Kianian et al.			

FOREIGN PATENT DOCUMENTS

	Document number	Date	Country	Class	Sub-class	Translation YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	HAYASHI, Fumihiro and PLUMMER, James D., "A Self-Aligned Split-Gate Flash EEPROM Cell With 3-D Pillar Structure", 1999 Symposium on VLSI Technology Digest of Technical Papers, Center for Integrated System, Stanford University, Stanford, CA 94305, USA, pages 87-88
	SZE, Simon, "Physics of Semiconductor Devices", 2nd Edition, Wiley-Interscience, Basic Device Characteristics, pages 438-439.
	BROWN, William D., et al.; "Nonvolatile Semiconductor Memory Technology, A Comprehensive Guide To Understanding And Using NVSM Devices", IEEE Press, pages 33-34.

Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	